

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
INFORMATION DISCLOSURE STATEMENT

5

In re Application of:
SHOOSHTARIAN, ET AL.

Serial No.: 09/527,873

Filed: March 17, 2000

Title: LOCALIZED HEATING AND COOLING OF SUBSTRATES



Attorney Docket No.: AGX-37

Date: August 3, 2000

Art Unit: Not Yet Furnished

Our Account No. 04-1403

Honorable Commissioner of Patents and Trademarks
Washington, D.C. 20231

Sir:

The following is an Information Disclosure Statement for the captioned patent application, pursuant to 37 CFR Sections 1.56, 1.97, and 1.98.

1. ☒ Attached hereto is:

- a. ☒ A list of all materials for consideration per Rule 98(a)(1):
1 page(s)
- b. ☒ A legible copy of each patent, publication, or other item listed per Rule 98(a)(2), unless not required per Rule 98(c) and/or (d) and as indicated on the attached list(s):
11 item(s)
- c. ☐ For each non-English language item listed, pursuant to Rule 98(a)(3), a concise explanation of the relevance thereof as it is presently understood by the individual designated in Rule 56(c) most knowledgeable about the content of such items: page(s)

2. ☒ This Information Disclosure Statement is being filed **[CHECK ONE]**:

- a. ☒ WITHIN THREE MONTHS of the application filing date or national stage date of entry OR BEFORE the mailing date of a first Office Action on the merits, which ever event occurs last, WHEREFORE per Rule 97(b) NO filing fee or Rule 97(e) certificate is required.
- b. ☐ AFTER the time periods of section 2.a above, but BEFORE a Final Action OR Notice of Allowance, WHEREFORE per Rule 97(c) submitted herewith is **[CHECK ONE]**:
 - i. ☐ Certification per Rule 97(e) OR
 - ii. ☐ Filing Fee per Rule 17(p) \$240.00
- c. ☐ AFTER a Final Action OR Notice of Allowance, but BEFORE payment of the issue fee, WHEREFORE per Rule 97(d) submitted herewith is:
 - i. Certification per Rule 97(e)
 - ii. Petition: Petition is hereby made under Rule 97(d)(ii) for consideration of the present Information Disclosure Statement; AND
 - iii. Petition fee per Rule 17(i)(1) \$130.00

3. ☐ Rule 97(e) Certification; per Rule 97(e), the undersigned certifying party makes the following certification statement **[CHECK ONE]**:

- a. ☐ That each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement; OR

- b. [] That no item of information contained in this Information Disclosure Statement was cited in a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in Rule 56(c) more than three months prior to the filing of this statement.

CERTIFYING PARTY (if different from bottom signature; omission here indicates that certification is being made by signer per signature below)

Name: _____ Signature _____
Address: _____

Date _____

4. [X] DEPOSIT ACCOUNT AUTHORIZATION: The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any fees in addition to the fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (deficiency only) now or hereafter relative to this application and the resulting official document under Rule 20, or credit any overpayment, to our Account No. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This statement does not authorize charge of the issue fee in this case.

5. [X] CERTIFICATE OF MAILING: This Information Disclosure Statement is being filed pursuant to [CHECK AND COMPLETE ONE]:

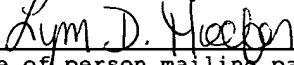
- a. [X] First Class Mail Certificate of Mailing under Rule 8:

I hereby certify that this correspondence and any referenced attachment and/or fee are being deposited with the United States Postal Service as first class mail in an envelope addressed to:
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August 3, 2000

Lynn D. Hoefer

(Typed/printed name of person mailing paper or fee)


(Signature of person mailing paper or fee)

- b. [] "Express Mail" Certificate under Rule 10:

"Express Mail" - Label No. _____
Date of Deposit _____

I hereby certify that this paper and all attachments and any fee are being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Box Patent Application, Washington D.C. 20231.

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(Signature of person mailing paper or fee)

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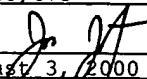
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DORITY & MANNING

ATTORNEYS AT LAW, P.A.

By: Jason W. Johnston

Reg. No.: 45,675

Signature: 

Date: August 3, 2000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
 FILING COMPLETION UNDER 37 CFR 1.53(a)(1.63)

Sector

Application of: SHOOSHTALIAN, ET AL ATTN: Application Branch

No.: 09/527,873

Date: August 3, 2000

d: March 17, 2000

Ref.: AGX-37

File: LOCALIZED HEATING AND COOLING SUBSTRATES

Our Account No. 04-1403

Honorable Commissioner of Patents and Trademarks
 Washington, D.C. 20231

Sir:

The following completes the filing of the above-identified patent application under Rule 53(f)/63:

- ☒ Rule 53 signed Declaration enclosed.
- ☐ This is a Rule 47 filing per attached Petition.
- ☐ Enclosed: Original signed Declaration with attached specification (including claims) which is a copy of specification/claims originally filed to secure above filing date.
- ☐ Specification originally filed in non-English language; hence verified translation attached of:
- ☐ Abstract [] pgs of Specification(only spec. & claims) [] Drawing Figs _____
- ☐ _____ sheet(s) of formal drawings enclosed: size: [] A4 [] 14" [] 8 1/2 by 11
- ☒ Attached is an assignment to Steag RTP Systems, Inc.
- ☐ Priority is hereby claimed under Rule 55 and 35 U.S.C. 119 based on prior foreign application(s) No(s). _____, respectively. filed in _____ on _____, respectively.
- Certified copy (copies) [] attached; [] already filed on _____ in U.S. Application, Serial No. _____, filed _____.
- ☐ Attached: _____ Verified Statement(s) establishing "small entity" status under Rules 9 & 27.
- ☒ Attached is the requested return copy of the PTO Notice under Rule 53(f)/63
- ☒ Attached: Assignment Recordation Cover Sheets and Information Disclosure Statement List/Information Disclosure Statement Cover Sheet, and copies of references and Letter
- ☐ Preliminary Amendment:

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED
 PER MPEP § 506 AND § 607**

If not earlier paid, add Basic Filing Fee..... \$ 690.00
 Total Effective Claims 41 - 20 = 21 x \$18.00 = \$ 378.00
 Independent Claims 4 - 3 = 1 x \$78.00 = \$ 78.00
 If any proper multiple dependent claim (ignore improper) is present, add \$260.00

Filing Fee \$1146.00

Since PTO Notice under Rule 53(f)/63 set an original due date of 7/22/00, petition is hereby made for an extension to cover the date this response is filed for which the requisite fee is enclosed (1 month \$110; 2 months \$380; 3 months \$870; 4 months \$1360) \$ 110.00

If this is the first time either signed Declaration filed or filing fee paid, add Surcharge(\$130) \$ 130.00

Subtotal \$1386.00

If "small entity" status box above is X'd, enter half (1/2) of subtotal & subtract - \$
 Total = \$1386.00

If "non-English" box above is X'd, add Rule 17(k) processing fee (\$130.00)..... \$

If "assignment" box above is X'd, add recording fee (\$40.00)..... \$ 40.00

If "Rule 47" box above is X'd, add Petition fee \$130.00 Rule 17(h)..... \$

TOTAL FEE ENCLOSED \$1426.00

The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any fees in addition to the fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (deficiency only) now or hereafter relative to this application and the resulting official document under Rule 20, or credit any overpayment, to our Account No. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This statement does not authorize charge of the issue fee in this case.

ADDRESS: DORITY & MANNING
 ATTORNEYS AT LAW, P.A.

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By Atty: Jason W. Johnston Reg. No. 45,675

Signature [Signature]

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231, on

August 3, 2000

Lynn D. Hoefer

(Typed or printed name of person mailing paper or fee)

(Signature of person mailing paper or fee)